

# FOREIGN PATENT REQUEST FORM

Requestor's Name: <u>KHON TRAN</u>	Case Serial Number: <u>09/078,665</u>	
Request Date: <u>8/19/04</u>	Art Unit/Org.: <u>3634</u>	Building: <u>CPK 5</u> Room: <u>6A20</u>
Date Needed By: <u>8/20/04</u>	Phone: <u>306-3437</u>	FAX Number: _____

**Requests may be submitted by e-mail. Include on the e-mail the same information requested on this form.**

COUNTRY NAME or COUNTRY CODE	DOCUMENT NUMBER	DOCUMENT DATE
DE	292 22 001 U1	MARCH 26 1998
DE ✓	296 18 924 U1	APRIL 9 1998
DE ✓	44 37 472 A1 (STECK)	APRIL 25 1996
DE ✓	196 0 802 (GIESBERT)	NOVEMBER 11, 1966

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L1: Entry 1 of 1

File: DWPI

Dec 12, 2002

DERWENT-ACC-NO: 2000-328522

DERWENT-WEEK: 200305

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TITLE: Computerized trading system for trading financial instruments between traders and trader terminals

INVENTOR: HOWORKA, E R; JAIN, N ; MILLS, G D

PATENT-ASSIGNEE:

ASSIGNEE

CODE

EBS DEALING RESOURCES INC

EBSDN

PRIORITY-DATA: 1998WO-US19196 (September 11, 1998)

**Search Selected****Search ALL****Clear**

PATENT-FAMILY:

PUB-NO	PUB-DATE	LANGUAGE	PAGES	MAIN-IPC
<input type="checkbox"/> AU 755413 B	December 12, 2002		000	G06F017/60
<input type="checkbox"/> WO 200016224 A1	March 23, 2000	E	055	G06F017/60
<input type="checkbox"/> AU 9894853 A	April 3, 2000		000	G06F017/60
<input type="checkbox"/> EP 1116144 A1	July 18, 2001	E	000	G06F017/60
<input type="checkbox"/> CN 1322325 A	November 14, 2001		000	G06F017/60
<input type="checkbox"/> JP 2002525713 W	August 13, 2002		072	G06F017/60

DESIGNATED-STATES: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG US UZ VN YU ZW AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SZ UG ZW AT BE CH CY DE DK ES FI FR GB GR IE IT LI LU MC NL PT SE

APPLICATION-DATA:

PUB-NO	APPL-DATE	APPL-NO	DESCRIPTOR
AU 755413B	September 11, 1998	1998AU-0094853	
AU 755413B		AU 9894853	Previous Publ.
AU 755413B		WO 200016224	Based on
WO 200016224A1	September 11, 1998	1998WO-US19196	
AU 9894853A	September 11, 1998	1998AU-0094853	
AU 9894853A	September 11, 1998	1998WO-US19196	

AU 9894853A		WO 200016224	Based on
EP 1116144A1	September 11, 1998	1998EP-0948237	
EP 1116144A1	September 11, 1998	1998WO-US19196	
EP 1116144A1		WO 200016224	Based on
CN 1322325A	September 11, 1998	1998CN-0814307	
CN 1322325A	September 11, 1998	1998WO-US19196	
JP2002525713W	September 11, 1998	1998WO-US19196	
JP2002525713W	September 11, 1998	2000JP-0570691	
JP2002525713W		WO 200016224	Based on

INT-CL (IPC): G06 F 17/60

ABSTRACTED-PUB-NO: WO 200016224A  
BASIC-ABSTRACT:

NOVELTY - A minimum credit threshold is equal to the available credit required by the one credit granting entity to complete a trade of a predetermined minimum size. A separate minimum credit threshold is established for each credit granting entity and is derived from a function of one parameter specific to each credit granting entity, and related to the nature of the financial instrument being traded.

DETAILED DESCRIPTION - The credit filter enables the display of prices at the trader terminals. The displayed prices are indicated by the price quotation messages for which it is determined with reference to the credit store that a minimum credit threshold is available on a bilateral basis from and to the one credit granting entity.

USE - For trading financial instruments between traders and trader terminals. Used for trading derivatives such as forward rate agreements.

ADVANTAGE - Enables setting the minimum credit threshold. Enables selecting an appropriate threshold based on the parameters of the trading floor administrator selection. Enables trading more types of financial instrument, including forward rate agreements. Allows a trading floor administrator to limit the exposure of trades occurring on the trading floor under his or her supervision. Ensures that an appropriate measure of risk is associated with each financial instrument since the volatility factor is used. Ensures that the prices are screened according to an appropriate measure of credit exposure. Ensures that all financial instruments for a predetermined minimum size deal will be displayed.

DESCRIPTION OF DRAWING(S) - The figure shows the Trading Floor Administrator's Credit Group Maintenance screen.

CHOSEN-DRAWING: Dwg.9/9

TITLE-TERMS: COMPUTER TRADE SYSTEM TRADE FINANCIAL INSTRUMENT TERMINAL

DERWENT-CLASS: T01 T05

EPI-CODES: T01-H07C5; T01-J05A1; T05-L02;

SECONDARY-ACC-NO:  
Non-CPI Secondary Accession Numbers: N2000-247303

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